

### AMENDMENTS TO THE CLAIMS

1.-5. (Canceled)

6. (Currently Amended) An information management system accessible simultaneously to a plurality of users, said system comprising:

at least one server coupled to an investment advisor computer network comprising computers used by portfolio managers and equity traders;

at least one database stored on said server containing client transaction information, hosted by said at least one server said server also having stored thereon (1) a plurality of user profiles which correlate system users with user specific data manipulation logic[[,]] and data display format, and (2) a plurality of business logic rules defining system operations that are performed in response to transactions requested by system users, ~~said at least one database having stored thereon client transaction information such that~~ wherein a common set of client transaction information is available for display and manipulation to the investment advisor firm as well as broker/dealer firms and custodian banks throughout the life cycle of an equity order transaction in accordance with a user profile defined for each corresponding user;

a user profile and session manager configured to process the at least one user profile to determine which information is available to a user and a data display format that at least in part defines system operation;

a transaction manager configured to (1) receive transaction requests from said user profile and session manager, said transaction requests operative to produce changes to database content and user display, and also configured to (2) forward transactions that the user is authorized to perform to transaction execution modules, wherein said forwarding comprises transmitting a logic execution request for database changes to a business logic manager configured to execute the transactions that the user is authorized to perform in accordance with said business logic rules and transmitting a presentation request to a presentation dialog manager configured to display data to the screen according to the user profile;

an information manager configured to store executed transactions in the at least one database, wherein at least some of said business logic rules define modifications to user profiles to be performed in response to modifications of client transaction information;

wherein said business logic rules and user profiles are configured such that a portfolio manager system user inputs equity trades for a plurality of investors to the system using an interface defined by a user profile assigned to said portfolio manager system user, and such that a broker/dealer user of the system receives information regarding said equity trades in a format defined by a user profile assigned to said broker/dealer user of the system.

7. (Canceled).

8. (Previously Presented) The system of Claim 6, wherein said server is coupled to said investment advisor network of computers via the Internet.

9. (Previously Presented) The system of Claim 8, wherein said investment advisor computers access said server via a browser application.

10. (Currently Amended) A computerized equity based transaction management system, available to a plurality of different types of users that manages the entire life cycle of an equity order transaction, said system comprising:

- a. at least one server coupled to an investment advisor computer network comprising data processing devices used by one or more users required to complete an equity order transaction, the users comprising a plurality of clients, portfolio managers, assistant portfolio managers, compliance officers, equity traders, executing brokers, custodian banks, clearing houses and electronic trading venues;
- b. an internet browser on the data processing devices that are connected to the network via an internet/intranet connection that allows one or more of the users to interact with the network at an investment advisor's internet site during an equity order transaction;
- c. a data repository system that stores, delivers and retrieves data for the system, wherein at least a portion of the data is accessible for at least one of viewing and

manipulating by the users during the entire life cycle of an equity order transaction and is updated after the user manipulates the information, and wherein said data comprises:

- i. client account information including one or more of account number, account description, account trading restrictions, account balance information, account transactions, and account holdings;
  - ii. user profile information which correlates a user's role in the equity order transaction with specific data manipulation logic which defines the user's access entitlements to the client account information and a specific data display format that is presented to the user;
  - iii. valid dialog/presentation information combinations that are available to the user based on the user's profile information;
  - iv. valid business logic information combinations that are available to the system based on the user's role and an investment advisor's definition of business access authorization, the business logic information defines specific data manipulation routines and logic that are permitted against an equity order transaction through out the life cycle of the transaction as defined by authorized user(s) ~~of the~~;
  - v. valid user/investment advisor site information used for site configurations and user roles, and used to modify the business logic information and dialog/presentation information;
  - vi. valid management information combinations for external connections;
- d. a business logic manager that manages the system operations that are performed in response to transaction requests by users based on the business logic information combinations as defined by authorized administrators of the system;
- e. a user profile and session manager that manages the user's profile information, authorizes the user's role, determines which transaction information is available to a user for manipulation, and determines the data display format of the transaction to the user;

- f. a user database interface manager that manages the user's access to the data on the data repository system and the client account information, and allows at least one of viewing or manipulating the information depending on the authorized user's role;
- g. a presentation dialog manager that stores and displays the various screens that are available to the authorized users defined by the valid dialog/presentation information combinations;
- h. a user/investment advisor site manager that defines specific business functions that the investment advisor site is authorized to perform and the specific dialogues the user investment advisor site is allowed to view;
- i. a transaction manager that manages how the transaction will interact with a user comprising:
  - i. receiving transaction requests from the user profile and session manager;
  - ii. forwarding transactions that the user is authorized to perform to transaction execution modules in accordance to the user profile information and the business logic information; and
  - iii. transmitting a presentation request to the presentation dialog manager;
- j. a user plug-in module that manages how data is formatted when either sent or received from users during the transaction;
- k. an information manager that manages the connections and data exchange with third party vendor databases, comprising modifying client account information in third party vendor databases in response to the executed transaction;
- l. a security module that authenticates the user session to allow the authorized user access to the system;
- m. a network connection module that interfaces with the security module allowing network traffic in and out of the network and that manages network connections.
- n. wherein a common set of client transaction information is available for display and manipulation to said plurality of clients, portfolio managers, assistant

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portfolio managers, compliance officers, equity traders, executing brokers, custodian banks, clearing houses and electronic trading venues throughout the life cycle of an equity order transaction in accordance with said user profiles defined for each corresponding user.

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### **SUMMARY OF INTERVIEW**

The applicant wishes to thank the Examiner for the time spent during the interview of June 29, 2006. Claims 6 and 10 were discussed in view of the art of record. The applicant explained the concepts of a database with client transaction information accessible via specific user profiles to multiple parties involved in an equity trade. The language of Claims 6 and 10 where this concept is recited was discussed. Making amendments to Claim 6 to resolve the 112 rejection and making the claim language of Claims 6 and 10 more consistent was discussed. The Examiner's comments are incorporated into the present response.